

11-20-00 A
Patent Application Transmittal

(only for new nonprovisional applications under 37 C.F.R. 1.53(b))

EXPRESS MAIL

11/17/00
jc826 U.S. PRO
FIRM: BROWN & WOOD LLP
ADDRESS: One World Trade Center
New York, New York 10048-0557
TEL: (212) 839-5300
FAX: (212) 839-5599

Mailing label number EL 688 859 813 US
Date of Deposit November 17, 2000
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents and Trademarks, Washington, D.C. 20231.

CARMEN TENA

(Typed or printed name of person mailing paper or fee)

CARMEN TENA

(Signature of person mailing paper or fee)

[37 CFR § 1.8 Certificate of Mailing CANNOT be used.]

Date: November 17, 2000
Attorney Docket No.: DT-3788

09/16/00
ASSISTANT COMMISSIONER FOR PATENTS
Box Patent Application
Washington, D.C. 20231

Sir:

With reference to the filing in the United States Patent and Trademark Office of an application for patent in the name(s) of: **James MacPherson**

entitled: **SYSTEM AND METHODS FOR TRADING MUTUAL FUNDS**

☒ New Application
☐ Continuing Application

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP)
of prior application serial no. , filed .

[Note: If priority under 35 U.S.C. 120 involves a series of respectively copending applications, then in this amendment identify each and its relationship to its immediate predecessor.]

☐ The prior application is assigned of record to .

☐ This is an application of a small entity under 37 CFR 1.9(f) and the amounts shown in parentheses below have been employed in calculating the fee:

☐ Small Entity Verified Statement(s) is (are) enclosed.
☐ Small Entity Verified Statement(s) filed in prior application, status still proper and desired

Patent Application Transmittal
(only for new nonprovisional applications under 37 C.F.R. 1.53(b))

The following are enclosed:

X Specification (18 pages) & Abstract
X 13 Sheet(s) of Drawings
X 47 Claim(s) (including 3 independent claim(s))
X This application contains a multiple dependent claim
— Information Disclosure Statement, PTO-1449 and — references;

X This filing fee has been calculated on the basis of the claims as amended by any enclosed preliminary amendment as follows:

Basic Fee, \$710.00 (\$355.00).....	\$ 710.00
Number of Claims in excess of 20 at \$18.00 (\$9.00) each:.....	486.00
Number of Independent Claims in excess of 3 at \$80.00 (\$40.00) each:.....	00.00
Multiple Dependent Claim Fee at \$270.00 (\$135.00).....	270.00
<u>X</u> Assignment Recording Fee \$40.00	40.00
Total Filing Fee.....	\$ 1,506.00

X The Commissioner is hereby authorized to charge payment of the following fees associated with this communication and credit any overpayment to Deposit Account No. 50-0955. A duplicate copy of this sheet is enclosed

- (x) Any additional filing fees required under 37 CRF 1.16
(x) Any patent application processing fees under 37 CRF 1.17.

X Oath or Declaration and Power of Attorney
X New X signed — unsigned
— Copy from a prior application (37 C.F.R. 1.63(d))

Deletion of Inventors

— Signed Statement attached deleting inventor(s) named in the prior application (37 C.F.R. 1.63(d)(2) and 1.33(b))

— Power of attorney and/or correspondence address was changed during prosecution of the prior application. The new power of attorney is to Reg. No. . The new correspondence address is indicated above.

— Incorporation by Reference (for continuation or divisional application)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

— A Preliminary Amendment is enclosed.
(Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

00716139-111700

Patent Application Transmittal
(only for new nonprovisional applications under 37 C.F.R. 1.53(b))

— Cancel in this application original claims ____ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

X New formal drawings are enclosed.

— Certified copy of each foreign priority application on which the claim for priority under 35 U.S.C. 119 is based was filed in prior U.S. application serial no. , filed . A list of said foreign priority application(s) is (are) provided below. Acknowledgement thereof is requested.

Application No.

Filed

In

X The Commissioner is hereby authorized to charge payment of the following fees during the pendency of the application or credit any overpayment to Deposit Account No. 50-0955. A duplicate copy of this sheet is enclosed

(X) Any patent application processing fees under 37 CFR 1.17

(X) Any filing fees required under 37 CFR 1.16 for the presentation of extra claims.

Respectfully submitted,

Attorneys for Applicant(s)

By: _____

Rohit Gillon

Reg # 39,202